DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)

Administration on Aging

Fiscal Year 2001 Program Announcement (AoA-01-06) and Application Kit

SUMMARY: The Administration on Aging (AoA) announced in the *Federal Register* of June 18, 2001, that it will hold a competition for grant awards to support **Statewide Senior Legal Hotlines**, as authorized by Title IV, Section 420 of the Older Americans Act, as amended (P.L. 106-501). The accompanying set of materials comprises the **application kit** for preparing and submitting grant proposals to compete for these project awards.

This program announcement consists of two parts. *Part I* provides background information and describes the priority area, **Statewide Senior Legal Hotlines**, under which the AoA is inviting applications to be considered for funding. *Part II* describes, in detail, the process governing the consideration of project applications for funding and provides guidance on how to prepare and submit an application.

All of the forms (Standard Form 424), Assurances, and Certifications necessary to complete the application are included following Part II. Grant awards to be made under this priority area are subject to the availability of funds.

DATE: The *deadline date* for the submission of applications is August 03, 2001.

ADDRESS: Application receipt point: U.S. Department of Health and Human Services, Administration on Aging, Grants Management Division, 330 Independence Avenue, S.W., Room 4257, Washington, DC 20201, Attn: AoA-01-06.

FOR FURTHER INFORMATION CONTACT: Department of Health and Human Services, Administration on Aging, Statewide Senior Legal Hotlines Program Officer Joyce Ella Hubbard, 330 Independence Avenue, S.W., Room 4264, Washington, DC 20201, telephone: (202) 619-2987 or e-mail at Joyce.Hubbard@aoa.gov.

Part I. Background Information and Priority Area Description

A. Statutory Authority

The statutory authority for awards made under this program announcement area is contained in Title IV of the Older Americans Act, (42 U.S.C. 3001 et seq.), as amended by the Older Americans Act Amendments of 2000, P.L. 106-501.

B. Eligible Applicants

Public and/or nonprofit agencies, organizations, and institutions are eligible to apply under this program announcement. To be considered for funding, however, the applicant must be experienced in providing legal assistance to older persons.

Any nonprofit organization applying under this program competition that is not now a DHHS grantee should include, with its application, Internal Revenue Service or other legally recognized documentation of its nonprofit status. A nonprofit applicant cannot be funded without proof of its status.

C. Priority Area Description

Statewide Legal Hotlines for Older Americans

1) Background

Consistent with Section 420(a)(2) of the Older Americans Act, which provides for the support of "demonstration projects to expand or improve the delivery of legal assistance to older individuals with social or economic needs," the AoA is inviting applications from public and/or non-profit organizations, currently engaged in the provision of legal services to the elderly, to establish, or to expand and improve, Statewide Senior Legal Hotlines for older Americans, with an emphasis on program innovation and the advancement of the state of knowledge regarding effective provision of legal assistance to older Americans.

More specifically, this program announcement responds to provisions in the Omnibus Consolidated Appropriations Act for FY 2001 (P.L.106-554) which directs the AoA to provide funds for state and local innovations/projects of national significance [statewide senior legal services hotlines], and to fund ongoing projects scheduled for refunding in FY 2001. Under this priority area, it is anticipated that four (4) to five (5) awards will be made to support innovative Statewide Senior Legal Hotline approaches to serving older persons.

2) History

In 1985, after a prototype statewide senior legal hotline in Pennsylvania showed considerable promise, the Administration on Aging (AoA) funded the American Association of Retired Persons/Legal Counsel for the Elderly (AARP/LCE) to further develop and test this innovative method of delivering a high volume of quality legal assistance to older people. Model legal hotlines, utilizing paid, specially-trained, and experienced lawyers, were developed to provide unlimited free legal advise to all state residents age 60 and older, regardless of their level of income or resources. The hotlines also provided legal briefs and related assistance such as document reviews and calls/letters to third parties, but only when there was a likelihood that this would resolve the problem. Services were provided statewide by means of toll-free telephone lines. The legal hotlines were fully computerized, therefore minimizing, if not eliminating, the need for paper, files, and administrative staff.

The senior legal hotline concept took hold in the ensuing years. Statewide senior legal hotlines were established in Arizona, northern California, the District of Columbia, Florida, Georgia, Hawaii, Indiana, Iowa, Kansas, Maine, Maryland, Michigan, Mississippi, New Mexico, Ohio, Pennsylvania, Puerto Rico, Texas, Washington and West Virginia. An evaluation of their operations (the pre-1995 Hotlines), conducted during the early 1990's, showed that senior legal hotlines and corresponding referral services resolved 81% of callers' legal questions and 50% of their legal problems. The development of new Hotlines, as well as the strengthening of existing Hotlines, would greatly enhance the access to legal assistance of many more older people. In that regard, senior legal hotlines are a valuable resource for implementation of the vulnerable elder rights protection programs set forth in Title VII of the Older Americans Act.

3) Project Objectives and Activities

Applicants preparing proposals under this program announcement to establish, or to expand and strengthen, Statewide Senior Legal Hotlines should be especially mindful of the program’s track record and experience since the mid-1980's, and familiar with the models that have been established across the country. Before pointing your proposed project in ground-breaking directions for delivering legal assistance to the elderly, you should make it clear that you have a thorough understanding of what has been tried, what may work and what may not, and that you are building on the best practices of the past dozen years.

All applicants must indicate what crucial and pressing concerns facing the elderly are within the scope of the proposed project and the reasons for focusing the Hotline’s energies on these concerns, whether they be income security, health care, long-term care, nutrition, housing, protective services, abuse and neglect, guardianship, age discrimination, pension and health benefits, insurance, utilities, consumer protection, surrogate decision making, public benefits, dispute resolution, etc. A related choice to be made by the applicant is who among the older population will have priority in receiving the attention of the Hotline. In past competitions for Hotline awards, the AoA strongly encouraged project applications that had an emphasis on providing services (1) to ethnic and/or racial minority older persons; (2) to those elderly in greatest economic and social need; and (3) to older persons in rural areas. Those same considerations will have priority in this competition as well.

Other factors which will weigh favorably in the consideration of applications for funding are:

A. Applications which demonstrate that Title III/VII and Legal Services Corporation funded legal services programs within the state are willing to coordinate their services with the proposed legal hotline;

B. Applications that offer the largest grantee cost sharing, and thus request the fewest AoA dollars. (The minimum grantee share of project costs is 25%);

C. Applications which offer a feasible plan for funding the legal hotline once the AoA grant ends;

D. Applications which include the endorsement of the State Agency on Aging and the State Bar Association (the voluntary and/or mandatory Bar, whichever is appropriate). Special justification must be provided by the applicant if these endorsements are not included in the application.

All applications should specify some of the more important operational features of the proposed Hotline, including:

! the number of households/persons to be served in comparison to the number of older persons in the State and the number of low-income older persons in the State;

! the number of cases to be handled; the number of calls to be handled;

! the average number of 1) calls and 2) cases that a Hotline attorney is expected to handle in an hour;

! the average expected cost per call; the average number of calls per case;
! if applicable, any evaluative data on your Hotline's past performance, the source of which is the elderly clients and/or an independent third party.

To better gauge the proposed project's potential for expansion and innovation, the application should set forth, in convincing fashion, your expectations for the future course of the Hotline which cover, with some particularity, the following:

! the innovativeness of the program; a justification for the claim that the project is innovative;

! how the model would significantly contribute to the current state of knowledge and practice regarding legal assistance to the elderly and the role of the legal profession in advising older persons on life course planning decisions;

! the feasibility of the model (i.e., is it logical, practical, realistic, and on solid financial footing?).

AoA expects to make four to five awards for Statewide Senior Legal Hotlines under this program announcement. The Federal share of project costs is expected to range from $90,000 to $110,000 (the amount roughly proportionate to the size of the State's senior population) per year for an expected project period of three years. Applicants should recognize, however, that continuation awards for the second and third year of the project are contingent upon the availability of Title IV funds and the record of project performance. NOTE: Statewide legal hotline projects recently funded under AoA's FY ‘00 discretionary announcement, and now being either expanded or established in Georgia, Hawaii, Indiana, Iowa, and Washington, are ineligible to apply under this announcement for funding. In addition, those Statewide legal hotline projects that were funded under the FY ‘99 announcement and are now currently in their second year of operation — Maryland, Michigan, and West Virginia, are also ineligible to apply under this announcement for funding.

Part II Information and Guidelines for the Application Process and Review

Part II of this application kit contains general information for potential applicants and basic guidelines for submitting applications to compete for the **Statewide Senior Legal Hotlines**. Application forms are provided along with detailed instructions for preparing the application package for submittal to the AoA.

A. General Information

1. Review Process and Considerations for Funding

Within the limits of available federal funds, AoA makes financial assistance awards consistent with the purposes of the statutory authority governing this program, as cited above. The following steps are involved in the review process.

a. Notification: All applicants will automatically be notified of the receipt of their application and informed of the identification number assigned to it.

b. Screening: To insure that minimum standards of equity and fairness have been met, applications which do not meet the screening criteria listed in Section D below, will not be reviewed and will receive no further consideration for funding.

c. Expert Review: Applications that conform to the requirements of this program announcement will be reviewed and scored competitively against the evaluation criteria specified in Section F, below. This independent review of applications is performed by a panel consisting of qualified persons from outside the federal government and knowledgeable non-AoA federal government officials. The scores and judgments of these expert reviewers are a major factor in making award decisions.

d. Other Comments: AoA may solicit views and comments on pending applications from other federal departments and agencies, interested foundations, national organizations, experts, and others, for the consideration of the Assistant Secretary for Aging in making funding decisions.

e. Other Funding Sources: AoA reserves the option of discussing applications with, or referring them to, other federal or non-federal funding sources when this is determined to be in the best interest of the federal government or the applicant.

f. Decision-Making Process: After the panel(s) review session, applicants may be contacted by AoA staff to furnish additional information. Applicants who are contacted should not assume that funding is guaranteed. An award is official only upon receipt of the Financial Assistance Award.

g. Time frame: Applicants should be aware that the time interval between the deadline for submission of applications and the grant award may be several weeks in duration. This length of time is required to review and process project applications.

2. Notification Under Executive Order 12372

This is not a covered program under Executive Order 12372.

B. Deadline for Submission of Applications

The closing date for submission of applications is August 03, 2001. Applications must be either sent or hand-delivered to the address specified in Section D, below. Hand-delivered applications are accepted during the normal working hours of 9:00 a.m. to 5:30 p.m., Eastern Time, Monday through Friday. An application will meet the deadline if it is either:

1. Received at the mailing address on or before the applicable deadline date; or

2. Sent before midnight of the applicable deadline date as evidenced by either (1) a U.S. Postal Service receipt or postmark or (2) a receipt from a commercial carrier. Applicants are strongly advised to obtain proof that the application was sent by the applicable deadline date. If there is a question as to when an application was sent,

applicants will be asked to provide proof that they have met the applicable deadline date. Private metered postmarks are not proof of a timely submittal.

Applications which do not meet the above deadlines are considered late applications. The Grants Management Division will notify each late applicant that its application will not be considered as part of this review and competition.

AoA may extend the August 03, 2001 deadline for applications because of acts of God, such as floods, hurricanes or earthquakes, when there is widespread disruption of the mail, or when AoA determines an extension to be in the best interest of the government. Depending upon the precipitating factor(s), the extension will apply to all potential applicants in the area affected by the natural disaster, or to all potential applicants across the nation. Should there be an extension of the application, a notice to that effect will be published in the Federal Register.

C. Grantee Share of the Project

Under this and similar demonstration programs, AoA does not make grant awards for the entire project cost. Successful applicants must, at a minimum, contribute one (1) dollar, secured from non-federal sources, for every three (3) dollars received in federal funding. The non-federal share must equal at least 25% of the total project cost. Thus, if the applicant requests federal support for $90,000, its match must be at least $30,000. Applicants should note that, among applications of comparable technical merit as determined by the reviewers, the greater the non-federal share the more favorably the application is likely to be considered for funding by the AoA.

There are two exceptions to this cost sharing formula. First, for applications submitted by Tribal Organizations the non-federal share must equal at least 20% of total project costs. Second, applicants from the Virgin Islands, the Northern Mariana Islands, American Samoa, or Guam are covered by Section 501(d) of Public Law 95-134, as amended, which requires the Department to waive "any requirement for local matching funds under $200,000."

The non-federal share of total project costs for each budget period may be in the form of grantee-incurred direct or indirect costs, third party in-kind contributions, and/or project related income. Indirect costs may not exceed those allowed under federal rules established, as appropriate, by OMB Circulars A-21, A-87, and A-122. If the required non-federal share is not met by a funded project, AoA will disallow any unmatched federal dollars. A common error is to match 25% of the federal share rather than 25% of the entire project cost.

D. Application Screening Requirements

All applications will be screened to assure a level playing field for all applicants. Applications which fail to meet either of the two screening criteria described below will **not** be reviewed and will receive **no** further consideration.

In order for an application to be reviewed, it must meet the following screening requirements:

1. Applications must be either postmarked by midnight, August 03, 2001, or hand-delivered by 5:30 p.m., Eastern Time, on August 03, 2001:

   Department of Health and Human Services
   Administration on Aging
   Grants Management Division
   330 Independence Avenue, S.W., Room 4257
   Washington, D.C. 20201
   Attn: AoA-01-06.

2. An application must be relevant and responsive to this program announcement for **Statewide Senior Legal Hotlines**.

Only those applications meeting these two screening requirements will be assigned to reviewers.

In addition, the applicant is strongly advised to adhere to the following guidelines in preparing the application:

! The application should **not** exceed *thirty (30) pages, double-spaced*, exclusive of certain required forms and assurances which are listed below. Should you be tempted to have your typescript single-spaced or to resort to artifices like this font size in getting every last jot and tittle of your message across, remember that the reviewers of your narrative have not been asked to come to the encounter equipped with a magnifying glass.

! The following documents are excluded from the 30 page limitation: (1) Standard Form (SF) 424, SF 424A (including up to a four page budget justification) and SF 424B; (2) the certification forms regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements; (3) proof of non-profit status, and; (4) indirect cost agreements.

! The following portions of the application are subject, in the aggregate, to the thirty

(30) page limitation:

- Summary description (suggested length: one page);
- Narrative (suggested length: twenty+ pages);
- Applicant's capability statement, and vitae for key project personnel (suggested length: four to six pages) and;
- Letters of commitment and cooperation (suggested length: three to five pages).

All applications will be checked against the aggregate thirty (30) page limitation. Any material, of whatever content, in excess of the thirty (30) page limitation will be withheld from the reviewers.

E. Indirect Costs

Indirect costs generally may be requested only if the applicant has a negotiated indirect cost rate with the Department's Division of Cost Allocation or with another federal agency. Applicants without a negotiated indirect cost rate may apply for one in accordance with DHHS procedures and relevant OMB Circulars.

F. Evaluation Criteria

Applications which pass the screening will be evaluated by an independent review panel of at least three individuals. These reviewers, experts in the field, are drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies other than AoA. Based on the specific programmatic considerations set forth above in this program announcement, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria below.

Applications are scored by assigning a maximum of 100 points across four criteria:

1. Purpose and Need for Assistance — Weight: 25 points

a. Does the proposed project proposal clearly and fully respond to the substantive components of the program announcement regarding the functions and activities of the Statewide Senior Legal Hotlines? (Sub-weight, 15 points).

b. Does the project proposal demonstrate a thorough understanding of legal assistance programs for the elderly and the roles of the national, state, and local agencies responsible for their operation? (Sub-weight, 10 points).

2. <u>Approach /Method - Work Plan and Activities</u> <u>Weight: 25 points</u>

a. Is the approach innovative? Is the project work plan clear and comprehensive? Does it systematically include specific objectives and tasks in a feasible and effective approach to accomplishing its purpose? (Sub-weight, 15 points).

b. Is a well-ordered and sensible timeline for the accomplishment of tasks and objectives presented? Are the sequence and timing of events logical and realistic? (Sub-weight, 5 points).

c. Are the roles and contributions of project staff, consultants, and collaborative organizations clearly defined and linked to specific objectives and tasks? Does the work plan specify who would be responsible for such tasks as: leadership of the project; preparation of reports and products; communications with AoA; and dissemination of projects results/products? (Sub-weight, 5 points).

3. <u>Anticipated Outcomes and Dissemination</u> <u>Weight: 25 points</u>

a. Are the expected benefits/results clear, realistic, and consistent with the innovative objectives and purpose of the project? Are the anticipated outcomes of the project likely to be achieved and will they significantly benefit older people and improve legal assistance and elder rights programs? (Sub-weight, 15 points).

b. Does the proposal include a plan for dissemination which is likely to promote a timely awareness among interested parties of the project's activities and events during salient stages of the project? Is this plan adequate for disseminating the project's products to all appropriate audiences? (Sub-weight, 10 points).

4. <u>Level of Effort</u> <u>Weight: 25 points</u>

a. Do the proposed project director, key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Is the time commitment of the proposed director sufficient to assure proper direction, management and completion of the project? Is the time commitment of other key staff sufficient to assure completion of the tasks proposed for the project? (Sub-weight, 13 points).

b. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items consistent with work plan objectives? (Sub-weight, 7 points).

c. Are letters from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions? (Sub-weight, 5 points).

G. The Components of an Application

To expedite the processing of applications, we request that you arrange the components of your application, the original and two copies, in the following order:

- SF 424, Application for Federal Assistance; SF 424A, Budget, accompanied by your budget justification; SF 424B (Assurances); and the certification forms regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements. Note: The original copy of the application must have an original signature in item 18d on the SF 424.

- Proof of nonprofit status, as necessary;

- A copy of the applicant's indirect cost agreement, as necessary;

- Project summary description;

- Program narrative;

- Organizational capability statement and vitae;

- Letters of commitment from participating organizations and agencies;

- A copy of the Check List of Application Requirements (See Section K, below) with all the completed items checked.

Beginning with the page for the project summary description, pages should be numbered sequentially. Please do not use covers or tabs. Do not include extraneous materials such as agency promotion brochures, slides, tapes, film clips, etc. It is not feasible to include such items in the review process. They will be discarded if submitted as part of the application.

H. Communications with AoA

All applicants will be notified (using the information provided by the SF 424, item 5) of the receipt of their application and informed of the identification number assigned to it. This number should be referred to in all subsequent communication with AoA concerning the application. If acknowledgment is not received within four weeks after the deadline date, please notify the Office of Program Development by telephone at (202) 619-2987.

After an identification number is assigned and the applicant has been notified of the number, applications are filed numerically by identification number for quick retrieval. It will be difficult for AoA staff to provide a timely response to inquiries about a specific application unless the identification number and the program announcement are given. Applicants are advised that, prior to reaching a decision, AoA will not release information to an applicant other than that its application has been received and that it is being reviewed. Once a decision is reached, the applicant will be notified as soon as possible of the approval or disapproval of the application.

I. Background Information on Statewide Senior Legal Hotlines

In the Program Narrative of the application (see Section J-6 below), applicants are expected to demonstrate a thorough familiarity with the history, current status, and policy considerations bearing on future development of statewide senior legal hotlines and related legal assistance and elder rights programs. Information regarding these matters is available by contacting Ms. Joyce Ella Hubbard at 202/619-2987, or at e-mail Joyce.Hubbard@aoa.gov.

Copies of all AoA-supported project final reports and printed materials are sent to: the National Technical Information Service (NTIS), a clearinghouse and document source for federally-sponsored reports; Ageline Database, a bibliographic database service sponsored by the American Association of Retired Persons, available online through BRS and DIALOG; and the U.S. Government Printing Office Library Program, a catalog/ microfiche service for 1400 depository libraries throughout the United States; and, The National Aging Information Center located at the Administration on Aging Headquarters Office (DC).

J. Completing the Application

In completing the application, please recognize that the set of standardized forms and instructions is prescribed by the Office of Management and Budget and is not perfectly adaptable to the particulars of this program announcement. First-time applicants, in particular, concentrate too much energy on making sure they have crossed the final "t" and dotted the last "i" of their application. Any applicant should, of course, take reasonable care to avoid technical errors in completing the application, but the substantive merits of the project proposal are the determining factors in funding decisions.

Please use the following guidance in preparing your application:

1. SF 424, Cover Page: Complete only the items specified in the following instructions:

Item 1. Preprinted on the form.

Item 2. Fill in the date you submitted the application. Leave the applicant identifier box blank.

Item 3. Not applicable.

Item 4. Leave blank.

Item 5. Provide the legal name of the applicant; the name of the primary organizational unit which will undertake the assistance activity; the applicant address; and the name and telephone number of the person to contact on matters related to this application.

Item 6. Enter the employer identification number (EIN) of the applicant organization as assigned by the Internal Revenue Service. Please include the suffix to the EIN, if known.

Item 7. Enter the appropriate letter in the box provided.

Item 8. Preprinted on form.

Item 9. Preprinted on form.

Item 10. Preprinted on form.

Item 11. The title should describe concisely the nature of the project proposal. Avoid repeating the title of the program announcement or the name of the applicant. Try not to exceed 10 to 12 words and 120 characters including spaces and punctuation.

Item 12. Preprinted on form.

Item 13. Enter the desired start date for the project, beginning on September 30, 2001 and the end date for the project, September 29, 2004.

Item 14. List the applicant's Congressional District and the District(s), if any, directly affected by the proposed project.

Item 15. All budget information entered under item #15 should cover only the first 12 months of the project. The applicant should show the federal support requested under sub-item 15a. Sub-items 15b-15e are considered cost-sharing or "matching funds". Applicants should review cost sharing or matching principles contained in Subpart G of 45 CFR Part 74 before completing not just Item 15, but the Budget Information Sections A, B and C that follow. It is important that the dollar amounts entered in sub-items 15b-15f total at least 25 percent of the total project cost (total project cost is equal to the requested federal funds plus funds from non-federal sources).

In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered cash matching funds. Most contributions from third parties will be non-cash (i.e. in-kind). Examples include volunteered time and use of facilities to hold meetings or conduct project activities. A third form of non-federal match, is projected program income derived from activities of the project such as participant fees and sale of publications. Only program income which is to be used as part of the qualifying match should be shown here.

Item 16. Preprinted on form.

Item 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

Item 18. To be signed by an authorized representative of the applicant organization. A document attesting to that sign-off authority must be on file in the applicant's office.

2. SF 424A - Budget Information

This form (SF424A) is designed to apply for funding under more than one grant program; thus, for purposes of this AoA program, most of the budget item columns/blocks are superfluous and should be regarded as not applicable. The applicant should consider and respond to only the budget items for which guidance is provided below.

Section A - Budget Summary and Section B - Budget Categories should include both Federal and non-Federal funding for the proposed project covering the first 12 months of the 36 month project period.

Section A - Budget Summary

On line 5, enter total federal Costs in column (e) and total non-federal Costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the total of columns (e) and (f) in column (g).

Section B - Budget Categories

Use only the last column under Section B, namely the column headed Total (5), to enter the total requirements for funds (combining both the federal and non-federal shares) by object class category.

A fuller explanation of the proposed budget should be provided in a “budget justification” section. In that budget justification, consider including an overall budget breakdown which shows in three columns all of the budget cost items by federal, non-federal, and total funds. The rest of this separate budget presentation should fully explain and justify each of the major budget items: personnel, travel, other, etc., as outlined below. The column for non-federal funds shown for any of the budget line items in the budget justification sheet reflects only cash match contributions (see instructions above for item 15 on the face sheet of the 424 Form). Third party in-kind contributions and program income designated as non-federal match contributions should be identified and justified separately from the justification for the budget line items. The full budget justification (allow up to four pages) should be included in the application immediately follow the SF 424 forms.

Line 6a - Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included under 6h - Other.
Justification: Identify the project director, if known. Specify the key staff, their titles, and time commitments in the budget justification.

Line 6b - Fringe Benefits: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.
Justification: Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

Line 6c - Travel: Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel or local transportation.
Justification: Include the total number of trips, destinations, length of stay, transportation

costs and subsistence allowances.

Line 6d - Equipment: Enter the total costs of all equipment to be acquired by the project. For state and local governments, including federally recognized Indian Tribes, "equipment" is non-expendable tangible personal property having a useful life of more than two years and an acquisition cost of $5,000 or more per unit. For all other grantees, the threshold for equipment is $500 or more per unit.
Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub-grantees. The justification also must contain plans for the use or disposal of the equipment after the project ends.

Line 6e - Supplies: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

Line 6f - Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and, (2) contracts with secondary recipient organizations including delegate agencies. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line.
Justification: Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information.

Line 6g - Construction: Leave blank since new construction is not allowable and federal funds are rarely used for either renovation or repair.

Line 6h - Other: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs; noncontractual fees and travel paid directly to individual consultants; local transportation (all travel which does not require per diem is considered local travel); space and equipment rentals; printing and publication; computer use; training and staff development costs.

Line 6i - Total Direct Charges: Show the totals of Lines 6a through 6h.

Line 6j - Indirect Charges: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. Applicants other than state and local governments are requested to enclose a copy of this agreement. Local and state governments should enter the amount of indirect costs determined in accordance with HHS requirements. When an indirect cost rate is requested, these costs are included in the indirect cost pool and should not be also charged as direct costs to the project.

Line 6k - Total: Enter the total amounts of Lines 6i and 6j.

Line 7 - Program Income/Third Party In-kind: Include on line 7 any third party in-kind contributions being proposed as part of the grantee match. Also, as appropriate, estimate the amount of income, if any, expected to be generated from this project which you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, do **not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income which will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

Section C - Non-Federal Resources

Line 12 - Totals: Enter amounts of non-Federal resources that will be used in carrying out the proposed project. Do not include program income unless it is used to meet match requirements.

Section D - Forecasted Cash Needs: Not applicable.

Section E - Budget Estimate of Federal Funds Needed for Balance of the Project
Complete this section since the total project period encompasses three funding periods.

Line 20 - Totals: Enter the estimated required federal funds (exclude estimates of the amount of cost sharing) for the period covering months 13 through 24 under column “(b) First,” and for the period covering months 25 through 36 under column “(c) Second.”

Section F - Other Budget Information

Line 21 - Direct Charges: Not applicable

Line 22 - Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs.

Line 23 - Remarks: Provide any other explanations or comments deemed necessary.

3. SF 424B - Assurances

SF 424B, Assurances--Non-Construction Programs, contains assurances required of applicants under the Title IV Program of the Administration on Aging. Please note that a duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances.

4. Certification Forms

Certifications are required of the applicant regarding (a) lobbying; (b) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

5. Project Summary Description

The project summary description (page one) begins the substantive part of the application. It should be headed by two identifiers: (1) the name of the applicant organization as shown in SF 424, item 5; and (2) Statewide Senior Legal Hotlines. Please limit the summary description to one page with a maximum of 1,200 characters, including words, spaces, and punctuation.

Be specific and succinct. Outline the objectives of the proposed project, the approaches to be used and the outcomes expected. At the end of the summary, list major products that will result from the proposed project (such as manuals, data collection instruments, training packages, audio-visuals, software packages). The project summary description, together with the information on the SF 424, becomes the project "abstract" which is entered into AoA's computer data base. The project description provides the reviewer with an introduction to the substantive parts of the application. Therefore, care should be taken to produce a summary which accurately and concisely reflects the proposal.

6. Program Narrative

The Program Narrative is the critical part of the application. It should be clear, concise, and, of course, responsive to this program announcement. In describing your proposed project, make certain that you respond fully to the evaluation criteria set forth in Section F above. The organization of the narrative might well, in fact, parallel the criteria, beginning with an integrated discussion of (A) the project's purpose(s), relevance, significance, and responsiveness to the program announcement, which answers the questions of why the proposed project should be undertaken and what it intends to accomplish. The next section of the narrative provides a detailed explanation of (B) the work plan/approach(es) the project will follow to achieve its purpose(s), leading to a discussion of (C) the anticipated outcomes/results/benefits of the project's activities and how these will be disseminated and utilized. The narrative concludes with (D) the level of effort needed to carry out the project, in terms of the project Director and other key staff, funding, and other resources.

Please have the narrative typed, double-spaced, on one side of 8 1/2" x 11" plain white paper with 1" margins on both sides. All pages of the narrative (including charts, tables, etc.) should be sequentially numbered, beginning with "Objectives and Need for Assistance" as page number two (2). At the close of the project narrative, please identify the author(s) of the proposal, their relationship with the applicant, and the role they will play, if any, should the project be funded.

7. <u>Organizational Capability Statement and Vitae for Key Project Personnel</u>

The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. This description should cover capabilities of the applicant not included in the program narrative. Include descriptions of any current or previous relevant experience. Describe the competence of the project team and its record for preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization. Include short vitae for key project staff only.

8. <u>Letters of Commitment From Participating Organizations and Agencies</u>

Include confirmation of the commitments to the project (should it be funded) made by collaborating organizations and agencies in this part of the application.

K. <u>Checklist for a Complete Application</u>

The checklist below should be typed on 8 1/2" x 11" plain white paper, completed and included in your application package. It will help in properly preparing your application.

CHECKLIST

I have checked my application package to ensure that it includes or is in accord with the following:

_ One original application plus two copies, with the SF 424 as the first page of each copy of the application;
_ SF 424; SF 424A - Budget Information (and accompanying Budget Justification); SF 424B - Assurances; and Certifications;
_ SF 424 has been completed according to the instructions, signed and dated by an authorized official (item 18);
_ As necessary, a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency;
_ Proof of nonprofit status, as necessary;
_ Summary description;
_ Program narrative;
_ Organizational capability statement and vitae for key personnel;
_ Letters of commitment and cooperation, as appropriate.

L. Points to Remember

1. There is a thirty (30) double-spaced page limitation for the substantive parts of the application. Before submitting your application, check that you have adhered to this requirement as spelled out in Section D.
2. You are required to send an original and two copies of an application.
3. The summary description (1,200 characters or less) should accurately reflect the nature and scope of the proposed project.
4. To meet the cost sharing requirement (see Section C above), you must, at a minimum, match $1 for every $3 requested in Federal funding to reach 25% of the <u>total</u> project cost. Thus, if your request for Federal funds is $90,000, then the required minimum match or cost sharing is $30,000. The total project cost is $120,000, of which your $30,000 share is 25%.
5. Be sure you are satisfied that your program narrative responds fully and cogently to the four (4) evaluative criteria which will be used by reviewers to evaluate and score all applications.
6. Do <u>not</u> include testimonial letters which endorse the project in general and perfunctory terms. In contrast, letters which describe and verify tangible commitments to the project, e.g., funds, staff, space, should be included.
7. Before submitting the application, have someone other than the author(s): 1) apply the screening requirements to make sure you are in compliance; and 2) carry out a trial run review based upon the evaluative criteria. Take the

opportunity to consider the results of the trial run and then make whatever changes you deem appropriate.

8. The application must be mailed by midnight, August 03, 2001 or hand-delivered by 5:30 p.m., Eastern Time, on August 03, 2001. Mail or hand-deliver the application to:

Department of Health and Human Services
Administration on Aging
Grants Management Division
330 Independence Avenue, S.W., Room 4257
Washington, D.C. 20201
Attn: AoA-01-06.